Interline Settlement System Certification/Decertification/ Testing Document

7001 Weston Parkway, Suite 200
Cary, North Carolina 27513

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1 General Purpose ISS and Certification Process

The data exchanged through the Interline Settlement System (ISS) industry computer system will be the basis for exchanging large sums of money. Therefore, timely, error free exchange of information between railroads and the central monitoring facility is critical. The ISS Certification process is designed to make sure the error free prerequisite is met. The certification process is intended to be completed within 60 days from the date the ISS Certification Request Form (Appendix A) and official notification is received by Railinc.

The ISS certification process verifies that an interfacing railroad or software vendor system/software:

- Can meet the specifications of the EDI message handling processes including EDI 417 participation.
- Complies with the industry's AAR Railway Accounting Rules (Including Interline Settlement System Rules) and the Interline Settlement System Front Matter.
- Is committed to supporting industry certification efforts.
- Has successfully tested all functions of the central Interline Settlement System (ISS) interface and the interface to other railroads.
- Will meet industry agreed to performance levels and system specifications for ISS participation.
- Will become an active member of the Railroad Clearing House (RCH).
- Properly register revenue stations/junctions and other appropriate Industry Reference Files (IRF) at Railinc prior to participation and certification testing.
- Will certify and actively participate in the Rate EDI Network (REN) either via EDI 460, 490, 486 and 463 transmission as covered by the AAR's Rate EDI Network (REN) Rail Carrier Industry Guide to Electronic Data Interchange (aka REN Guidelines Front Matter), or via REN Web certification.

1.1 Eligibility

Any Class I, II, or III railroad in the United States, Canada or Mexico, upon satisfactory completion of the RCH Credit Approval process, is eligible to participate in ISS, provided the railroad is willing to undergo certification as described above and adhere to current AAR Accounting Rules pertaining to interline settlement and funds transfer. This section describes the procedure for achieving initial certification of a railroad for participation in ISS.

The RCH Board of Directors and Treasury Division of the AAR approved a credit policy for new roads entering the RCH process effective **April 1, 2007**. RCH participation is required for all ISS participants. To obtain additional information and to initiate the credit approval process the RCH Administrator at Railinc should be contacted at (919) 651-5001. Assistance may also be obtained by contacting the ISS Product Support Specialist at AAR_PS@Railinc.com.

The Interline Revenue Committee (IRC) approved an additional certification requirement for REN for new roads certifying ISS effective March 1, 2013. REN participation is required for all ISS participants

that certify on or after the effective date. The IRC will monitor REN activity to ensure continued participation.

To obtain additional information and to initiate the REN certification process, contact the ISS Product Support Specialist at AAR_PS@Railinc.com. Request REN-specific certification instruction and forms by request to the Railinc Contacts. Both ISS and REN certifications are intended to occur concurrently.

1.2 Railinc/ISS Access

The Central Interline Settlement System (CISS) is a process operated by Railinc. There are a number of methods for exchanging ISS messages with CISS using Electronic Data Interchange (EDI). The size of the railroad will likely influence the method selected. Principal methods available are:

- Direct dial-in access to FTP or FTP through VPN to Railinc/ISS.
- Connection to Railinc/ISS via Dedicated Leased line or Frame Network.
- Communication with Railinc/ISS via a Value Added Network (VAN) which in turn can link to Railinc via either of the first two methods listed above.

Regardless of the access method selected, a participating railroad (or its authorized agent) must obtain a valid Railinc User-ID, and have sufficient computer hardware and software to properly exchange settlement data electronically between a carrier's system and the CISS at Railinc.

Procedures for establishing access to Railinc for exchange of ISS messages are outlined in the Getting Started section of the ISS User's manual.

2 Who Must Certify

All roads participating in ISS are required to complete preliminary testing and certification prior to becoming an active participant.

The preliminary testing and certification/testing process are required in all of the following situations:

- Any new road whether using their own developed system or using a purchased system whether that system was previously certified or not. REN certification is required.

- Any active road that is switching to a new software package, whether or not that package has been previously certified (not to include internal code changes to existing software). REN certification is not required.

- Any new road that is the result of merely a name change (includes mergers, outright purchase, or other business arrangement) whether using a new or existing software package and/or new or existing personnel. REN certification is not required.

- Any active road switching communication protocols at Railinc which involve CISS that require a table update (Carrier ID Table, etc). REN certification is not required.

- Any new software vendor or existing software vendor that developed their own system/software or purchased an existing system/software whether using new or existing personnel. REN certification is not required.

3 Administration and Contacts

3.1 Certification Administration

Railinc will administer all certification/testing processes dealing with participation in industry related systems. The administration group within the Railinc organization will have the specific responsibility to work with the applicant road, CISS and interfacing/partner railroad(s) to accomplish certification. The assigned partner road should have a direct interchange with the new road and will act as a mentor to the new road. As such, the partner road will be required to provide approval of the new road's ability to actively participate in all aspects of the ISS process. Railinc will provide all active ISS participants notice of the road seeking certification, the assigned partner road(s) and the targeted implementation date.

Partner roads can not be affiliated with the applicant road. For example, the partner road can not be owned by the applicant road or sister company/railroad.

The applicant road is responsible for confirming partner roads for certification. Railinc will assist applicant road with contact information of partner roads.

3.2 Railinc Contacts

Questions concerning the certification procedures should be directed to the Product Support. This individual can be reached by contacting Railinc's Customer Support Center via 800-544-7245, or e-mail at CSC@railinc.com or AAR_PS@Railinc.com.

The ISS and REN certification requirements, forms and access to the User's Manuals may be obtained via an e-mail request to the Product Support. Requests may be mailed directly to:

Product Support
Railinc
7001 Weston Parkway, Suite 200
Cary, NC 27513

4 Certification Requirements

There are four levels of certification and Railinc will determine which requirement testing will apply for each testing road applying for certification. Railroads must test in the category that fits their railroad revenue class as determined by the AAR.

1. **Class I Testing Requirements**—Applicable to any road (active or new) certifying that falls into the category of a Class I road as determined by AAR guidelines.

2. **Non-Class I Testing Requirements**—Applicable to any new non-Class I road certifying that falls into a category other than Class I road as determined by AAR guidelines.

3. **Non-Class I ISS Accredited Software Change/Communication Change Requirement**—Applicable to any existing Non-Class I road certifying that falls into a category other than Class 1 road as determined by AAR guidelines. The certifying road's SCAC/Road mark must be an active ISS participant.

4. **Software Vendors**—Applicable to any existing or new software vendor that develops or purchases an existing system/software for industry use. The software vendor must use existing ISS carriers in the certification/testing of system. Refer to Section 4.1.

4.1 Software Vendor Requirements

Software Vendors with ISS systems must be certified. Testing is required to insure new or existing system/software adhere to AAR Accounting Rules and ISS business rules. This will minimize risk to the industry. Software vendors must complete the guidelines for a software change including preliminary testing and Forward & Store testing. The software vendor must follow the guidelines outlined for applicant road.

If the applicant road receives any 997 rejects and/or 864 serious errors during preliminary testing, these items must be corrected and retransmitted for review by Railinc. Railinc is responsible for approving or rejecting preliminary testing. The primary and secondary partner roads will approve the road/software on the certification/testing requirements including Forward & Store requirements.

5 ISS Certification Procedures

5.1 Overview of Certification

To initiate the ISS Certification Process, the certification applicant road submits required forms to Railinc Product Support-ISS. Refer to Section 5.3 for a list of the forms.

The Applicant Road(s) representative will review the types of messages and numbers submitted, ensuring that the number of accepted and rejected messages are within the acceptable ranges. They will also ensure that the Certification applicant Road transmitted all of the appropriate types of messages.

The Partner Road's representative(s) will evaluate the validity of the transactions submitted during the testing period. They will be responsible for checking the divisions of monies, rates, waybill contact information, and overall correctness of the waybill data. The primary Partner Road provides final approval for Certification of Applicant road's entrance into ISS Central process. The secondary Partner Road will provide comments to the team on the scenarios in which they participated with the applicant road and complete forms as required. Both the primary and secondary Partner Roads work as a team to state that the Certification applicant Road is in conformance with the ISS Requirements for Certification, and must complete the appropriate certification forms.

Railinc may need to intercede when the Certification applicant Road does not agree with the test results given by the Partner Road(s). Railinc would then review the proceedings and possibly ask for more information as is specified in the Certification Requirements Document.

After the applicant road has met the certification requirements, the partner road(s) are responsible for notifying Railinc. The Testing Roads should also submit to Railinc the Certification Forms verifying the completion of the required tasks. Railinc will not be required to review all of the details for each transaction during the testing period, but will review reports submitted.

5.2 Initiate Certification

To initiate the certification process, the Applicant Road must mail (or email) a request for ISS Certification detailing the dates of preliminary testing, start date of certification, primary and secondary Partner Road and name of software for ISS. Railinc will confirm the dates with the applicant road to verify minimum requirements have been met and to schedule preliminary testing.

The request must be on company letterhead.

Mailing Address:

ISS Product Support
Railinc
7001 Weston Parkway, Suite 200
Cary, North Carolina 27513

5.3 Required Forms for Certification

These forms must be completed and submitted to Railinc prior to beginning certification with testing roads.

Exhibit 1. Required Certification Forms

Applicant Road Forms (to complete prior to starting certification)***:***
• Appendix A—Certification Request Form
• Appendix B—ISS Questionnaire for Certification- completed after successful preliminary testing
• Appendix C—ISS Certification For Rules
• Appendix D—ISS Certification of Data Center Security
• Appendix L—Authorized Signatures
• Appendix M—Carrier ID Table Form (One for Test and another for Production)
• Appendix N—Carrier Contact List Form
• Appendix O:—*Removed*
• Appendix P:—*Removed*
• Appendix Q—Settlement Control Form
• Appendix R—Certification for REN - Certification and Participation
Partner Road Forms (to be completed at the end of certification)**:**
• Primary partner road forms to complete:
✓ Appendix E—ISS Certification Testing Road Check List
✓ Appendix F—ISS Primary Testing/Partner Road Approval
• Primary and Secondary partner road forms to complete:
✓ Appendix G—ISS Acceptance/Rejection Notification
✓ Appendix H—ISS Certification Testing Road Check List (Three Roads and Rule 11)
Railinc Forms**:**
• Appendix I—ISS Certification Railinc Check List
• Appendix J—ISS Industry Notification of Acceptance (After Approval by partner roads)

5.4 Staffing

Railinc, pursuant to its role as operator of the CISS computing and communications facility, shall provide such staff as deemed necessary for support of the certification process outlined here. This will include sufficient qualified staff to do table maintenance to enable access to ISS by newly certified railroads in a timely manner.

Railroad members of certification teams may need to use their own railroad's in-house capabilities and staff support for some phases of the certification evaluation. In addition, certain tests of the applicant railroad will require resources of other railroads. It is expected that all ISS participant railroads and applicant railroads will cooperate fully in supporting the certification process.

6 ISS Certification Test Requirements and Scenarios

6.1 ISS Preliminary Testing

Preliminary testing is required by the Applicant Road prior to starting certification. This will establish that a railroad is able to send and receive the pertinent EDI transactions that comprise ISS. Moreover, test results must demonstrate that a railroad is able to achieve a level of data quality with respect to data values such as rail station name, junction, and other data subject to industry reference file edit checks that supports the error-free objective. All railroads are strongly encouraged to use available Industry Reference Files to avoid CISS edit rejections.

The CISS System provides several mechanisms for testing. In most cases, all necessary testing can be conducted prior to application for certification. Such tests include, but are not limited to:

1. Test of communications and account with Railinc.

2. Independent test of communication and/or EDI with Railinc using test system region 'ISSV' (mirror image of production edits).

3. Validate IRF data for certification purposes. ISSV will validate IRF data against production information.

Railinc Product Support will assist railroads in establishing an account, and in getting access permission for use of the ISSV carrier test region.

The Certification Request Questionnaire asks that a railroad complete certain tests and provide results with supporting evidence. The Applicant Road will coordinate with Railinc in achieving this requirement.

6.2 ISS Preliminary Testing Requirements

Preliminary testing must be completed prior to certification. This information should be noted on Appendix B. Carriers must complete the scenarios to meet the requirements as noted below. The requirements are the minimum required for preliminary testing.

If the Applicant Road will utilize EDI 996 Report requests, the road must complete the test cases below related to EDI 996 during preliminary testing. Carriers utilizing the EDI 996 are required to notify Railinc prior to preliminary testing. Railinc will verify the completion of these requirements prior to Applicant Road starting certification

6.2.1 ISS Preliminary Testing Requirements

Exhibit 2. ISS Preliminary Testing Requirements

	Preliminary Testing	Success Criteria	Class I Test Volume Required	Non-Class I Test Volume Required	Non-Class I Software Change/Communication Change Only
1.	Successful transmit 426 transactions to ISSV. Errors should be corrected and/or discussed with Railinc.	Validate errors with Railinc	15	10	5
2.	Validate IRF data during preliminary testing.	Report discrepancies to Railinc for further discussion.	5	3	2
3.	Applicant road issues report request (s) This is an EDI 996 Report Request.	Applicant road can send request for each report type. Applicant road should complete this test case if EDI 996 will be utilized at their road.	Optional - Should be done in preliminary testing but not required for certification.	Optional - Should be done in preliminary testing but not required for certification.	Optional - Should be done in preliminary testing but not required for certification.
4.	Railinc send reports Railinc responds with an EDI 864 message detailing the requested information.	Applicant road can accept response from each 7c request Applicant road should complete this test case if EDI 996 will be utilized at their road.	Optional- Should be done in preliminary testing but not required for certification.	Optional- Should be done in preliminary testing but not required for certification.	Optional- Should be done in preliminary testing but not required for certification.

6.3 ISS Certification Requirements

Applicant Roads must complete requirements for Forward and Store testing in addition to the certification requirements. This will allow the Partner Roads to validate that carriers have the ability to send and receive EDI 417 data which is a requirement for ISS participation. Forward and Store testing will be completed during the certification testing with the Partner Roads.

The tables on the following pages provide requirements for ISS certification. The right columns represent the test requirements for Class I, Non-Class I and Non-Class I railroads making software/communication changes.

All test cases must be completed by Applicant Road regardless of their use of three road and/or Rule 11 traffic.

Test plans must be completed by Applicant Road prior to beginning certification. Contact Railinc for more information and suggested template(s).

6.3.1 Forward and Store Participation

Carriers who wish to participate in ISS must send EDI 417 waybills to Forward and Store. The Certification Applicant Road must transmit EDI 417 information to the Forward and Store test system for validation by the primary Partner Road. Once complete, the Certification Applicant Road must send notification to Railinc verifying their intent to participate in the Forward and Store test and production systems. This information should be sent to the Product Support-ISS. The Certification Applicant Road should contact Railinc's Customer Support for validation that the Forward and Store test system is available.

6.3.2 ISS Forward and Store Testing Requirements

Exhibit 3. ISS Forward & Store Testing Requirements

	Forward and Store Testing	Success Criteria	Class I Test Minimum Volume Required	Non-Class I Test Minimum Volume Required	Non-Class I Software Change/ Communication Change Only
1.	Test road demonstrates ability to send data to Forward and Store (EDI 417). After completion, road must send letter indicating its intent to participate in test and production Forward and Store on company letterhead.	Primary partner road evaluates applicant roads ability to send a mixture of single car, multi-car and Rule 11 EDI 417s	10	5	2

6.4 REN Certification and Participation

Carriers who wish to participate in ISS must also participate in REN. The ISS Applicant Road must go through REN Certification for validation by the test partner that the REN send rates are transmitted with the correct data. Once complete, the ISS Applicant Road must confirm with Railinc their intent to update and keep current all published rates. This information will be communicated to all ISS participants once the Applicant Road completes the ISS Certification process.

6.5 ISS Certification Test Requirements

Note test cases 1 through 4 must be met for all submitted test cases by the Certification Applicant Road. The minimum requirements are noted for each category. Beginning with test case 5, the Certification Applicant's understanding of ISS and its various rules is tested by completing the test cases as noted and approved by the partner road(s).

6.5.1 ISS Certification Requirements

Exhibit 4. ISS Certification Requirements

	ISS Requirement/Test	Success Criteria	Class I Test Volume Required	Non-Class I Test Volume Required	Non-Class I Software Change Only
1.	Transmit 426 Transaction Set without syntax rejection (100% accuracy). The volume total count will be dispersed among the following test cases. Any remaining volume total count must be transmitted and pass success criteria.	100% 997 Acceptance generated by ISS Central Partner road(s) will decide if errors warrant restarting or continuing certification	40	20	5
2.	Transmit 426 Transaction Set to Central ISS	WB Acknowledgement generated by ISS	40	20	5

	ISS Requirement/Test	Success Criteria	Class I Test Volume Required	Non-Class I Test Volume Required	Non-Class I Software Change Only
3.	Number of application/edit rejects from No. 2 is below allowable maximum. Zero syntax rejections.	The limitation of 864 serious errors is noted the columns for each category. This is the mandatory limit. Certifying road will decide if errors warrant restarting or continuing certification.	4	2	1
4.	All rejects from No. 3 resubmitted and accepted within time limit	3-day time limit for correcting rejections. Applicant road must provide transmission information to Railinc for verification.			
5.	Use ISSV for test with connecting or partner railroad(s) that is already certified for ISS.	(See tests a–i below)			
5a.	Send 'OR' 426 messages via ISSV to partner railroad.	100% of WBs received are reviewed by partner road. Partner and test road must agree that waybill data is valid for test purposes, regardless of possible dispute on rates/divisions or other data.	40	20	5
5b.	Given test URRWINs of (5a), partner railroad sends opinions through ISSV. Applicant railroad concurs to opinions received.	Concurrences (CO) for 5a opinions sent are received by partner railroad.	At least 3	At least 2	At least 1
5c.	Issue second opinion for URRWINs originally issued (typical of a correction to an 'OR' waybill).	Partner road receives proper opinions	At least 3	At least 2	At least 1
5d.	Issue 'MD' date change for at least one URRWIN.	Partner road receives	1	1	1
5e.	Partner road send 'MD' date change message, and Applicant road issues date change concurrence.	Partner road receives ISS date change corresponding to its proposal for all proposals made.	1	1	1
5f.	Applicant road issues delete from route for the partner road.	Partner road receives delete from route message.	5	2	1
5g.	Partner road issues delete from route for the testing road.	Applicant road receives delete from route message.	5	2	1
5h.	Applicant road sends CH message to partner road .	Partner road receives CH message and issues CO.	5	2	1
5i.	Partner road sends CH message.	Applicant road responds to CH with CO.	2	2	1
6.	Partner road sends challenge messages to Applicant road in ISSV.	(See specific requirements in a–d below)	10	3	1
6a.	Appropriate response is received for all Challenge URRWINs.	100% get CA, OP or CO. Applicant road must respond to all waybills submitted for 6a with a CA, OP or CO. The minimum requirement is noted for each category.			

	ISS Requirement/Test	Success Criteria	Class I Test Volume Required	Non-Class I Test Volume Required	Non-Class I Software Change Only
6b.	Challenges are Canceled (CA)	Applicant road responds with Cancels (CA)	At least 2	At least 1	At least 1
6c.	Concurred (CO) messages are sent	Applicant road responds with Concurrences (CO)	At least 2	At least 1	At least 1
6d.	Opinion (OP) messages are sent	Applicant road responds with Opinions (OP)	At least 2	At least 1	At least 1
7.	Railinc monitors/facilitates test of reports and messages. A fax or email is required from Applicant road to confirm completion of these requirements. Contact Railinc for more information.	(See tests a–d below)			
7a.	Concurrence Tracer	Applicant road can accept EDI message. EDI hardcopy of Tracer message is needed by Railinc. See requirement for each category.	1	1	1
7b.	Settlement Acknowledgment	Applicant road can accept EDI message. EDI hardcopy of at least one Settlement Acknowledgement message is needed by Railinc. See requirement for each category. ZR*K*	10	2	1
7c.	Daily Funds Transfer This is the Daily Settlement Report.	Applicant road can accept EDI message. EDI hardcopy of Daily Settlement Report message is needed by Railinc. See requirement for each category.	1	1	1
7d.	2-day 'Recap' Funds Transfer Report This is the Funds Transfer Notification Report.	Applicant road can accept EDI and process correct report. EDI hardcopy Funds Transfer Notification message is needed by Railinc. See requirement for each category.	1	1	1
8	Testing for 3 or more roads movement.	See requirements below			
8a.	Applicant road sends 426 'OR' waybills for movements involving 3 (or more) roads, including partner roads, to ISSV	Partner roads evaluate per 5a criteria. Partner road(s) involved in certification must complete Form H.	3	2	1
8b.	Partner road sends legitimate 426 CH waybills involving 3 or more roads which include the Applicant road.	Applicant road concurs, cancels, and/or sends opinions for all.	3 At least 1 CO, CA and/or OP response type sent by test road.	2	1

	ISS Requirement/Test	Success Criteria	Class I Test Volume Required	Non-Class I Test Volume Required	Non-Class I Software Change Only
8c.	Partner road sends OR waybills for movements involving 3 or more roads which include the Applicant road.	Applicant road concurs, cancels, and/or sends opinions for all.	3 At least 1 CO, CA and/or OP response type sent by test road.	2	1
9.	Two (2) Road Rule 11 Notification Test				
9a.	Applicant road demonstrates ability to send Rule 11 Notify to partner road appropriately	Partner road evaluates per 5a criteria	3	2	1
9b.	Partner road sends Rule 11 notify 'OR' waybills to test road	Applicant road sends CO	3	2	1
10.	Three (3) Road Rule 11 Notification Test	Form H from partner roads is required prior to production implementation.			
10a.	Applicant road demonstrates ability to send Rule 11 Notify to partner road appropriately that contains three roads	Partner road evaluates per 5a criteria	3	2	1
10b.	Applicant road demonstrates ability to send Rule 11 'Child' revenue waybill	Partner road evaluates per 5a criteria	3	2	1
10c.	Partner road sends Rule 11 Notify 'OR' waybills to test road	Applicant road sends CO	3	2	1
10d.	Applicant road demonstrates ability to change trend	Partner road evaluates for correct ISS procedure and messages such as Cancel, for test purposes, accuracy of Rule 11/through status not evaluated.	Scenario 1: One (1) through move to Rule 11 with child revenue waybill. Scenario 2: One (1) Rule 11 case to through.	Scenario 1: One (1) through move to Rule 11 with child revenue waybill. Scenario 2: One (1) Rule 11 case to through.	Scenario 1: One (1) through move to Rule 11 with child revenue waybill. Scenario 2: One (1) Rule 11 case to through.
10e.	Applicant road demonstrates ability to respond to change of trend. Partner road changes trend of through bill to Rule 11, and Applicant road responds with cancel, concur, etc. to bring about settlement without dispute over Rule 11 status.	Partner road evaluates for correct ISS procedure and null settlement of initial URRWIN Applicant road will initiate the waybill and partner road will change the trend.	Scenario 1: One (1) through move to Rule 11 with child revenue waybill. Scenario 2: One (1) Rule 11 case to through.	Scenario 1: One (1) through move to Rule 11 with child revenue waybill. Scenario 2: One (1) Rule 11 case to through.	Scenario 1: One (1) through move to Rule 11 with child revenue waybill. Scenario 2: One (1) Rule 11 case to through.

6.6 Activating Participation in ISS

Upon successful completion of the certification process, the Applicant Road will be scheduled for an orderly transition into the ISS process. Roads will become active on the first day of the month unless special arrangements are made, due to extenuating circumstances, subject to approval by the Revenue Pipeline Task Force. Railinc will issue a formal notification to all ISS participating roads, **at least 60 days** prior to the day of implementation, *advising the targeted date of implementation, the Applicant road's name and SCAC*. Once the partner roads(s) have approved by the Applicant roads admission to production ISS Central, Railinc will e-mail notification to the industry *advising date of production implementation, road SCAC, ISS Contact Person for road, phone number, email address and full mailing address*.

The Product Support Specialist - ISS must receive all required ISS forms by designated timeline. A copy of the original ISS Official Forms and all required RCH forms must be received by the appropriate persons at Railinc before production implementation. Please contact the Product Support Specialist - ISS and Manager, Railroad Clearinghouse for more details.

7 Exiting the ISS and RCH Participation

Carriers wishing to exit the ISS/RCH process must provide notification on company letterhead **at least 30 days prior to the requested expiration date.** The letter should provide the exiting carrier's name, address, phone number, rule 260 number and Standard Carrier Alpha Code (SCAC). The carriers will provide the reason for exiting the ISS/RCH process (this information will not be distributed to the industry). The letter must be signed by authorized personnel. Notification must be sent to Railinc's Product Support Specialist - ISS and Manager, Railroad Clearinghouse.

Carriers are only allowed to exit the ISS/RCH process on the last day of the calendar month after the 30-day requirement has been met. In addition, the exiting carrier is required to participate in the ISS/RCH process for a period of 14 months. The carrier must maintain software and connectivity to participate in ISS.

Once Railinc receives the official notice, the carrier must complete the Decertification form. The form advises the carrier of the items to complete in order to minimize risk of errant waybills after the expiration date. The Decertification form must be completed, signed by authorized personnel by the exiting carrier, and sent to Railinc's ISS Product Support Specialist.

A copy of the Decertification form is located in Appendix K.

Appendix A Certification Request Form

Date: _____

1. Railroad: _____
2. SCAC: _____
3. Location: _____
   _____
   _____
4. AAR CLASS (Check one): ☐ I ☐ II ☐ III
5. Reason for certifying (Check one):
   ☐ Class 1 Railroad - new or existing
   ☐ Non-Class 1 Railroad - A new road name and/or SCAC applying for entrance to ISS.
   ☐ Software/Communication Change - Existing road/SCAC in ISS making changes to software or communication to Railinc.
6. Are you an Agent (Software Vendor)? ☐ No ☐ Yes, specify: _____
7. Date requesting ISS Certification to begin: _____
8. ISS Primary Contact:

   Name: _____
   Address: _____
   _____
   _____
   Phone: _____
   E-Mail: _____
   Fax: _____

Appendix B Questionnaire For Preliminary Testing

1. Railroad: _____
2. SCAC: _____
3. Approximate number of monthly interline movements:
   - ☐ 500 or less
   - ☐ 501 – 5000
   - ☐ More than 5000
4. Railinc Network ID (mailbox): _____ *(Password is not needed)*
5. Dates of preliminary testing in ISSV _____
6. Have you conducted testing as defined in the preliminary testing matrix? ☐ Yes ☐ No
7. Have you successfully transmitted transactions to ISSV in the current ISS EDI version (426 transaction set)? ☐ Yes ☐ No
8. If no, state the number of 426 transactions that failed and the dates the messages were transmitted back to ISSV.

   Number of failed transactions: _____

   Date(s) of retransmission: _____
9. Number of 426 transactions sent: _____
10. What percentage passed syntax edits (EDI 997): _____ %
11. Number of transactions received: _____
12. Have you successfully used ISSV to request (996 report requests) and receive an ISS report? If carrier responds with no, the assumption will be that this is not required by your road.

    ☐ Yes ☐ No

    Date of test: _____

Appendix C Certification For Rules

Applicant Railroad: _____
Print or Type

AFFIDAVIT

The undersigned avows that all the documents and statements furnished with this application are true and accurate.

The undersigned acknowledges the Railway Accounting Rules as the established procedure for the Interline Settlement System.

_____ (Print name of Applicant road) hereby agrees to abide by the Railway Accounting Rules in all situations where they are applicable. The Revenue Pipeline Task Force (RPTF) reserves the right to change and/or amend these rules as needed by way of established voting procedures described in the Interline Revenue Committee (IRC) Rules of Order.

Signed: _____
Chief Financial Officer (CFO)

Print Name: _____

Print Title: _____
(If there is no CFO in your organization, title must be equivalent to the CFO.)

Date: _____

Appendix D Certification For Data Center

Applicant Railroad: _____
Print or Type

AFFIDAVIT

The undersigned avows that the Data Center Security standards, Down Time Procedures, and the Disaster Recovery plan as outlined in the 'Getting Started' section of the ISS User's Manual have been met.

_____ will abide by those Rules.
(Print name of Applicant road)

Signed: _____
Chief Information Officer (CIO)

Print Name: _____

Print Title: _____
(If there is no CIO in your organization, title must be equivalent to the CIO.)

Date: _____

Appendix E Certification Testing Road Check List

The primary Testing/Partner Road attests that the test and activities listed below have been reviewed and completed for the following:

Railroad: _____

SCAC: _____

Tests:

a.	Transmit 426 transactions	☐ OK
b.	Transmit 'OR' messages	☐ OK
c.	Transmit 'Opinions'	☐ OK
d.	Transmit 'Concurrence'	☐ OK
e.	Issue 'MD' date change request	☐ OK
f.	Issue 'MD' concurrence	☐ OK
g.	Accept 'Challenge'	☐ OK
h.	Issue 'Cancel' on 'Challenge'	☐ OK
i.	Transmit 2 road 'Rule 11 Notification'	☐ OK
j.	Accept 2 road 'Rule 11 Notification'	☐ OK
k.	Issue 'Challenge'	☐ OK
l.	Accept 'Cancel'	☐ OK
m.	Issue 'Delete Me from Route'	☐ OK
n.	Accept 'Delete Me from Route'	☐ OK
o.	Transmit 417 transactions via Forward and Store test	☐ OK

Signed: _____
Principal Testing/Partner Contact

Print Name: _____

Print Title: _____

Testing Partner _____

Date: _____

Appendix F Primary Testing/Partner Road Approval

Applicant Railroad: _____
Print or Type

Primary Testing/
Partner Railroad: _____
Print or Type

AFFIDAVIT BY TESTING RAILROAD

The undersigned verifies that the primary Testing/Partner Railroad engaged in bilateral testing of the Interline Settlement System (ISS) with the Applicant Railroad as detailed in the ISS/REN Certification Manual.

The Applicant Railroad has successfully completed all tests required within the success criteria specified.

Testing was carried out between the period starting _____ and ending _____.

Signed: _____
Principal Testing/Partner Contact

Print Name: _____

Print Title: _____

Testing/Partner Railroad: _____

Date: _____

Appendix G Testing/Partner Road Acceptance/ Rejection Notification

Date: _____

1. Railroad: _____
2. SCAC: _____
3. Location: _____

_____

_____

The above named railroad has been ☐ Accepted ☐ Rejected for processing in the production environment or change in software/communication in production Central Interline Settlement System.

If rejected the areas listed on the attached ISS Certification Team Check List were deficient. If accepted the railroad may start transmitting with the Central ISS system in a production mode beginning with the

first of the month of _____ , _____ (year).

Signed: _____
Principal Testing/Partner Contact

Print Name: _____

Print Title: _____

Testing/Partner Railroad: _____

Date: _____

Appendix H Certification Testing Road Check List

(Three Road and Rule 11 Testing)

The Testing/Partner roads attest that the tests and activities listed below have been reviewed and completed for the following:

Railroad: _____

SCAC: _____

Tests:

A.	Transmit 3 road 'OR' messages	☐ OK
B.	Accept 3 road 'Challenges'	☐ OK
C.	Accept 3 road 'OR' messages	☐ OK
D.	Transmit 3 road 'Concurrence'	☐ OK
E.	Transmit 3 road 'Opinions'	☐ OK
F.	Issue 'Cancel' on 3 road 'CH'	☐ OK
G.	Transmit 3 road 'Rule 11 Notification'	☐ OK
H.	Accept 3 road 'Rule 11 Notification'	☐ OK
I.	Transmit 3 road 'Rule 11 Revenue'	☐ OK
J.	Accept 3 road 'Rule 11 Revenue'	☐ OK
K.	Issue necessary transactions to change Through Waybill to Rule 11	☐ OK
L.	Issue necessary transactions to change Rule 11 Waybill to Through movement	☐ OK

Signed: _____
Principal Testing/Partner Contact

Print Name: _____

Print Title: _____

Testing/Partner Railroad: _____

Date: _____

***Check One*:** ☐ Primary Testing/Partner ☐ Secondary Testing/Partner Road

Appendix I Certification Railinc Check List

The undersigned avows that the tests and activities listed below have been reviewed and completed for the following:

Railroad: _____

SCAC: _____

Tests:

A.	Accept 'Concurrence Tracer'	☐ OK
B.	Accept 'Settlement Acknowledgement'	☐ OK
C.	Accept 'Daily Funds Transfer'	☐ OK
D.	Accept 'Funds Transfer Recap' 2 day report	☐ OK

Signed: _____
Railinc ISS Certification Contact

Print Name: _____

Print Title: _____

Testing/Partner Railroad: _____

Date: _____

Appendix J Industry Notification Of Acceptance

Railroad: _____

SCAC: _____

Location: _____

_____

_____

The above named railroad has been certified for processing in the production environment or software/communication change in Central Interline Settlement System. They will start transmitting with the Central ISS system in a production mode beginning with the first of

_____ (month), _____ (year).

A copy of this notification will be faxed or emailed to the certification team (Applicant road and Testing/Partner road) after all required forms and information is received by Railinc.

Signed: _____
Railinc ISS Certification Contact

Print Name: _____

Print Title: _____

Testing/Partner Railroad: _____

Date: _____

Appendix K Checklist for Exiting ISS/RCH

Exiting Railroad: _____
Type or Print

SCAC: _____
Type or Print

Rule 260: _____
Type or Print

Checklist:

1. Send official notification to the Product Support Specialist - ISS and Manager- Railroad Clearinghouse at least 30 days prior to exit date. A carrier can only exit the ISS/RCH process on the last calendar day of the month once the 30 day requirement has been met.

2. Expire and/or change revenue stations to operating stations to minimize risk of errant ISS waybills after exit date. Contact the Senior Data Specialist for procedures to change stations. Once complete, please advise the Product Support Specialist - ISS.

AFFIDAVIT

The undersigned avows that the following items have been completed for properly exiting ISS/RCH. The undersigned avows that failure to complete items increases the risk for errant ISS waybills and possible RCH funds transfer obligations. The undersigned understands the requirement to maintain connectivity and ability to handle ISS/RCH transaction for a period of 14 months after the exit date.

Signed: _____
Chief Financial Officer (CFO)

Print Name: _____

Print Title: _____
(If there is no CFO in your organization, title must be equivalent to the CFO.)

Date: _____

Appendix L Authorized Signatures

The individuals listed below are hereby authorized to sign the indicated forms.

Name: _____

Title: _____

Phone Number: _____

Fax Number: _____

Signature: _____

- ☐ Bilateral Settlement
- ☐ Bilateral (Funds Transfer)
- ☐ Carrier ID
- ☐ Transmit Control
- ☐ Prior Authorization Revoked
- ☐ Transition Partners

Name:

Title: _____

Phone Number: _____

Fax Number: _____

Signature: _____

- ☐ Bilateral Settlement
- ☐ Bilateral (Funds Transfer)
- ☐ Carrier ID
- ☐ Transmit Control
- ☐ Prior Authorization Revoked
- ☐ Transition Partners

Name:

Title: _____

Phone Number: _____

Fax Number: _____

Signature: _____

- ☐ Bilateral Settlement
- ☐ Bilateral (Funds Transfer)
- ☐ Carrier ID
- ☐ Transmit Control
- ☐ Prior Authorization Revoked
- ☐ Transition Partners

Authorized By:

Name: _____

Title: _____

Effective Date: _____ Railroad: _____

Authorized Signature Form—Instructions

This form (sample provided) is used to register individuals authorized by their roads to sign ISS forms. Each signature form has room for three people to be listed. If you need more room, use another form. Each form must be signed on the bottom by an officer of your railroad, and be accompanied by a cover letter on letterhead paper.

All fields in a block must be filled, in order to process the form. For each individual, you must list their Name, Title, Fax Number, and Voice Phone Number. In addition, at least one box must be checked. Checking more than one box allows that individual to authorize multiple types of forms.

If the box marked ***Prior Authorization Revoked*** is checked, no forms signed by that person will be accepted after the effective date. It will not invalidate data already entered in the system however.

Each road will be responsible for keeping its list of authorized individuals up to date. If a non–authorized person signs a form, the form will not be processed and the individual listed on the Carrier ID form will be contacted.

Appendix M Carrier ID Table Form

Region: ☐ ISSP (Production) ☐ ISSV (Test)

Your SCAC: _____ [Rule 260 Alpha Code]

Effective Date: _____ / _____ / _____ [Defaults to 1900/01/01]
CCYY **MM** **DD**

Expiration Date: _____ / _____ / _____ [Defaults to 9999/12/31]
CCYY **MM** **DD**

Carrier Name: _____ [Maximum 35 Characters]

Contact Title: _____ [Maximum 30 Characters]

Address: _____ [Maximum 35 Characters]

_____ [Maximum 35 Characters]

City: _____ [Maximum 19 Characters]

State/Province: _____ [Maximum 2 Characters]

ZIP Code: _____ [Max: 9 Characters for US, Mexico; 11 Characters for Canada]

Country Code: _____ [Maximum 2 Characters] [US—CA—MX]

ISS Level Code: ____ [F=Full Participant, E=EDI Participant Only] [1-Character]

Transmit Agent: _____ [Maximum 8 Characters]

Authorized By:

Signature: _____

Printed Name: _____

Title: _____

Date: _____

Carrier ID Table Form—Instructions

This form is used to enter or update entries in the Carrier ID Table in ISS. Its main purpose is to indicate your road's current status in ISS. It also informs the system of any Agent you may be using to send and receive your data.

The following is an explanation of the fields displayed on this form.

- **Region**—Check the box showing the Production Region (ISSP) or the Test Regions (ISSV). One of the boxes must be checked.
- **Your SCAC**—Enter your Rule 260 alpha code.
- **Effective Date**—Enter the date (in **CCYY/MM/DD** format) that you wish the information to be effective. Unless you are changing data such as your name or address, which has a specific date tied to it, you may leave this field blank.
- **Expiration Date**—If the information on the form is only valid for a certain period of time, enter the last valid date in this field. If no date is entered, the information remains in effect until it is canceled.
- **Carrier Name**—The name your railroad is known by. It should be the name of the railroad itself, not a "holding" or "parent" company. **35** characters are allowed in this field.
- **Contact Title**—The title (not the name) of the person in your organization to which ISS information should be directed. There is a maximum of **30** characters in this field.
- **Address**—The address that should be used in contacting the person above. There are two lines on the form exclusive of City, State. Each line has a maximum of **35** characters allowed.
- **City**—The city name, limited to **19** positions.
- **State/Province**—The state or province code in **2** positions.
- **ZIP Code**—The postal zip code for the address. Limited to **9** digits for U.S. and Mexican addresses, **11** characters for Canadian addresses.
- **Country Code**—Enter the proper **2**–character code for the U.S. (**US**), Canada (**CA**), or Mexico (**MX**).
- **ISS Level Code**—The level of ISS participation.

  P Production
  T Test

- **Transmit Agent—**If someone other than you will be transmitting your data to ISS, enter their Railinc assigned 8–position ID here. CISS will use this to cross–reference your data.

The bottom part of the form is for the authorization. Have the form signed by someone who has already been registered with Railinc via the Authorization Signature form to approve this Carrier ID form. The form cannot be processed if any field in the authorization area is blank.

Appendix N Carrier Contact List Form

The following individuals should be contacted for problem resolution:

Railroad: _____ Date: _____

Name:
Title: _____
Phone: _____ Fax: _____

Name:
Title: _____
Phone: _____ Fax: _____

Name:
Title: _____
Phone: _____ Fax: _____

Name:
Title: _____
Phone: _____ Fax: _____

Emergency Contact-Nights, Weekends, Holidays

Name: _____
Title: _____
Phone: _____ Fax: _____

Carrier Contact List Form—Instructions

This form (sample provided) is used to convey to Railinc who should be contacted concerning Interline Settlement System questions, problems or updates. Railinc requests at least one contact person for each ISS participant road; please feel free to submit up to six. The first person on the list is considered the primary point of contact.

Appendix Q Settlement Control Form

Region: ☐ ISSP (Production)
☐ ISSV (Test ISS Application version)

Your SCAC: _____ [Rule 260 Alpha Code (2–4 characters)]

Effective Date: _____ / _____ / _____ [Defaults to 1900/01/01–(Immediate Transmit)]
CCYY **MM** **DD**

Expiration Date: / / [Defaults to 9999/12/31]
CCYY **MM** **DD**

Sending SCAC: _____ [2-4 Characters, or Spaces For All]

Role in Route: _____ [O=Origin, I=Intermediate, D=Destination, Spaces=All Valid Roles] [Not used for 864 Messages or 426 Acknowledgments]

Distribution Type:

The default on the following messages is the short message. Check to override the default.

☐ **SA**—System Initiated Settlement, Active Road on Silent Concurrence

☐ **SF**—System Initiated Settlement, Silent Road on Silent Concurrence

☐ **SS**—System Initiated Settlement, Silent Road on Silent Concurrence

☐ **ST**—System Initiated Settlement, Fully Concurred

Authorized By:

Signature: _____

Printed Name: _____

Title: _____

Date: _____

Settlement Control Form—Instructions

Each carrier will receive all types of ISS messages automatically as stated on the Transmit Control Form, unless message types are specifically excluded via the Settlement Control Form. It allows you to determine whether you receive the long or short version of waybill messages.

The following is an explanation of the fields displayed on this form.

- **Region**—One of the boxes must be checked.
  - **ISSV**—Region for testing a new version of the Central ISS Application logic
  - **ISSP**—Production Region
- **Your SCAC**—Enter your Rule 260 alpha code (**2** to **4** characters).
- **Effective Date**—Enter the date (in **CCYY/MM/DD** format) you wish these transmit options to become active. If you leave this blank, your preferences will go into effect as soon as they are entered in ISS.
- **Expiration Date**—If the selections are to be in effect for a certain period of time only, enter the last allowable date in this field. If no date is entered, the options will be in effect indefinitely. In order to cancel a previously entered form, send in a duplicate of the first form with a valid Expiration Date entered. If you enter a date which has already passed, it will default to the date that Railinc actually implemented the request.
- **Sending SCAC**—This field is optional and allows you to turn off messages from a particular road. If this field is left blank, it defaults to all SCACs.
- **Role in Route**—This is the role in route of the SCAC identified above, not your role in the route. If you leave this field blank, all valid roles are assumed. Other values are:

  O Origin
  I Intermediate
  D Destination

- **Distribution Type**—Check if you want to override default short message.

Appendix R Certification for REN - Certification and Participation

Applicant Railroad: _____
Print or Type

AFFIDAVIT

The undersigned affirms that all the documents and statements furnished with this application are true and accurate to the best of their knowledge.

_____ (Print name of Applicant road) hereby certifies that it will actively participate in the Rate EDI Network (REN) as required by the ISS Certification Process as promulgated by the Interline Revenue Committee (IRC). The Revenue Pipeline Task Force (RPTF) reserves the right to change and/or amend any rules, processes, or procedures pertaining to the REN as needed by way of established voting procedures described in the IRC's Rules of Order.

Signed: _____
Chief Financial Officer (CFO)

Print Name: _____

Print Title: _____
(If there is no CFO in your organization, title must be equivalent to the CFO.)

Date: _____

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